



| SUBSTITUTE FORM PTO-1449<br>(MODIFIED)   |     | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE  |   | ATTY. DOCKET NO.<br>SPEN-03C       |   | SERIAL NO.<br>Express Mail No.<br>EV355034347US |   |   |                     |                             |       |          |                               |
|--|-----|---|---|------------------------------------|---|---|---|---|---------------------|-----------------------------|-------|----------|-------------------------------|
| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT<br><br>(Use several sheets if necessary)  |     |   |   | APPLICANT<br>Paul A. Spence et al. |   |   |   |   |                     |                             |       |          |                               |
|  |     |   |   | FILING DATE<br>October 28, 2003    |   | GROUP<br>Unknown                                |   |   |                     |                             |       |          |                               |
| U.S. PATENT DOCUMENTS  |     |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
| EXAMINER<br>INITIAL  |     | PATENT NUMBER   |   |                                    |   |   |   |   | ISSUE<br>DATE       | PATENTEE                    | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
| 25th   | A.A | 3   | 1 | 3                                  | 0 | 4   | 1 | 8 | 4/1964              | Head et al.                 | 3     | 1        |                               |
|  | A.B | 4   | 0 | 2                                  | 1 | 8   | 6 | 3 | 5/1977              | Woiem                       | 3     | 1.5      |                               |
|  | A.C | 4   | 1 | 0                                  | 6 | 1   | 2 | 9 | 8/1978              | Carentier et al.            | 3     | 1.5      |                               |
|  | A.D | 4   | 1 | 6                                  | 4 | 0   | 4 | 6 | 8/1979              | Cooley                      | 3     | 1.5      |                               |
|  | A.E | 4   | 2 | 6                                  | 1 | 3   | 4 | 2 | 4/1981              | Aranguren Duo               | 128   | 1R       |                               |
|  | A.F | 4   | 2 | 7                                  | 5 | 4   | 6 | 9 | 6/1981              | Gabbay                      | 3     | 1.5      |                               |
|  | A.G | 4   | 3 | 3                                  | 9 | 8   | 3 | 1 | 7/1982              | Johnson                     | 3     | 1.5      |                               |
|  | A.H | 4   | 3 | 4                                  | 0 | 9   | 7 | 7 | 7/1982              | Brownlee et al.             | 3     | 1.5      |                               |
|  | A.I | 4   | 4 | 8                                  | 9 | 4   | 4 | 6 | 12/1984             | Reed                        | 3     | 1.5      |                               |
|  | A.J | 4   | 6 | 0                                  | 2 | 9   | 1 | 1 | 7/1986              | Ahmadi et al.               | 623   | 2        |                               |
|  | A.K | 4   | 6 | 5                                  | 5 | 7   | 7 | 3 | 4/1987              | Crassi                      | 623   | 2        |                               |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS   |     |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  |     | DOCUMENT<br>NUMBER  |   |                                    |   |   |   |   | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION<br>(YES/NO)       |
|  | A.L |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.M |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.N |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.O |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.P |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.Q |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)  |     |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.R | F. Maisano et al., <u>The edge-to-edge technique: a simplified method to correct mitral insufficiency</u> , European Journal of Cardio-thoracic Surgery 13, pp. 240-246, 1998 |   |                                    |   |   |   |   |                     |                             |       |          |                               |
| ✓  | A.S | Carlos M.G. Duran, M.D., Ph.D., <u>Perspectives in Reparative Surgery for Acquired Valvular Disease</u> , Advances in Cardiac Surgery®, vol. 4, 1993                          |   |                                    |   |   |   |   |                     |                             |       |          |                               |
|  | A.T |   |   |                                    |   |   |   |   |                     |                             |       |          |                               |
| EXAMINER<br>  |     |   |   |                                    |   |   |   |   |                     | DATE CONSIDERED<br>12-6-04  |       |          |                               |
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| Wdh  | B.A | 4  | 9                   | 1                                  | 7                          | 6   | 8                       | 9 | 4/1990        | Carpentier et al. | 623   | 2        |                               |
|  | B.B | 4  | 9                   | 6                                  | 0                          | 4   | 2                       | 4 | 10/1990       | Grooters          | 623   | 2        |                               |
|  | B.C | 5  | 0                   | 6                                  | 1                          | 2   | 7                       | 7 | 10/1991       | Carpentier et al. | 623   | 2        |                               |
|  | B.D | 5  | 1                   | 0                                  | 4                          | 4   | 0                       | 7 | 4/1992        | Lam et al.        | 623   | 2        |                               |
|  | B.E | 5  | 1                   | 6                                  | 3                          | 9   | 5                       | 5 | 11/1992       | Love et al.       | 623   | 2.15     |                               |
|  | B.F | 5  | 1                   | 7                                  | 1                          | 2   | 5                       | 2 | 12/1992       | Friedland         | 227   | 902      |                               |
|  | B.G | 5  | 2                   | 0                                  | 1                          | 8   | 8                       | 0 | 4/1993        | Wright et al.     | 623   | 2        |                               |
|  | B.H | 5  | 3                   | 0                                  | 6                          | 2   | 9                       | 6 | 4/1994        | Wright et al.     | 623   | 2        |                               |
|  | B.I | 5  | 3                   | 3                                  | 2                          | 4   | 0                       | 2 | 7/1994        | Teitelbaum        | 623   | 2        |                               |
|  | B.J | 5  | 3                   | 6                                  | 0                          | 4   | 4                       | 4 | 11/1994       | Kusuhara          | 623   | 2        |                               |
|  | B.K | 5  | 3                   | 9                                  | 7                          | 3   | 5                       | 1 | 3/1995        | Pavcnik et al.    | 623   | 11       |                               |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS   |     |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
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|  | B.L |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.M |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.N |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.O |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.P |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.Q |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)  |     |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.R |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.S |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
|  | B.T |  |                     |                                    |                            |   |                         |   |               |                   |       |          |                               |
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| (37 CFR 1.98(b))  |  |  |  | FILING DATE<br>October 28, 2003    |  | GROUP<br>Unknown                                |  |

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|---|------|--------------------|---------------------|-----------------------------|-----------------|----------|-------------------------|---|---------------|---------------|-------|----------|-------------------------------|
| EXAMINER<br>INITIAL   | C.A. | PATENT NUMBER      |                     |                             |                 |          |                         |   | ISSUE<br>DATE | PATENTEE      | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|   | C.A. | 5                  | 4                   | 1                           | 5               | 6        | 6                       | 7 | 5/1995        | Frater        | 623   | 2        |                               |
|   | C.B. | 5                  | 4                   | 4                           | 9               | 3        | 8                       | 4 | 9/1995        | Johnson       | 623   | 2        |                               |
|   | C.C. | 5                  | 4                   | 5                           | 0               | 8        | 6                       | 0 | 9/1995        | O'Connor      | 128   | 898      |                               |
|   | C.D. | 5                  | 5                   | 4                           | 5               | 2        | 1                       | 4 | 8/1996        | Stevens       | 623   | 2        |                               |
|   | C.E. | 5                  | 5                   | 4                           | 9               | 6        | 6                       | 5 | 8/1996        | Vesely et al. | 623   | 2.14     |                               |
|   | C.F. | 5                  | 5                   | 5                           | 4               | 1        | 8                       | 4 | 9/1996        | Machiraju     | 623   | 2        |                               |
|   | C.G. | 5                  | 5                   | 5                           | 4               | 1        | 8                       | 5 | 9/1996        | Block et al.  | 623   | 2        |                               |
|   | C.H. | 5                  | 6                   | 6                           | 2               | 7        | 0                       | 4 | 9/1997        | Gross         | 623   | 2        |                               |
|   | C.I. | 5                  | 6                   | 7                           | 4               | 2        | 7                       | 9 | 10/1997       | Wright et al. | 623   | 2        |                               |
|   | C.J. | 5                  | 7                   | 0                           | 9               | 6        | 9                       | 5 | 1/1998        | Northrup, III | 606   | 148      |                               |
|   | C.K. | 5                  | 7                   | 1                           | 6               | 3        | 9                       | 7 | 2/1998        | Myers         | 623   | 2        |                               |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS  |      |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
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|   | C.L  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.M  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.N  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.O  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.P  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.Q  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)   |      |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.R  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.S  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
|   | C.T  |                    |                     |                             |                 |          |                         |   |               |               |       |          |                               |
| EXAMINER  |      |                    |                     |                             | DATE CONSIDERED |          |                         |   |               |               |       |          |                               |
|   |      |                    |                     |                             | 12/6/04         |          |                         |   |               |               |       |          |                               |
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PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
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EV355034347USINFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANT  
Paul A. Spence et al.

(Use several sheets if necessary)

FILING DATE  
October 28, 2003GROUP  
Unknown

(37 CFR 1.98(b))

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | PATENT NUMBER |   |   |   |   |   |   | ISSUE<br>DATE | PATENTEE          | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|-----|---------------|---|---|---|---|---|---|---------------|-------------------|-------|----------|-------------------------------|
| 28h                 | D.A | 5             | 7 | 3 | 3 | 3 | 3 | 1 | 3/1998        | Peredo            | 623   | 2        |                               |
|                     | D.B | 5             | 8 | 2 | 4 | 0 | 6 | 5 | 10/1998       | Gross             | 623   | 2        |                               |
|                     | D.C | 5             | 8 | 2 | 4 | 0 | 6 | 6 | 10/1998       | Gross             | 623   | 2        |                               |
|                     | D.D | 5             | 8 | 2 | 4 | 0 | 6 | 7 | 10/1998       | Gross             | 623   | 2        |                               |
|                     | D.E | 5             | 8 | 5 | 5 | 6 | 0 | 1 | 1/1999        | Bessler et al.    | 623   | 2        |                               |
|                     | D.F | 5             | 8 | 8 | 8 | 2 | 4 | 0 | 3/1999        | Carpentier et al. | 623   | 2        |                               |
|                     | D.G | 5             | 9 | 0 | 8 | 4 | 5 | 0 | 6/1999        | Gross et al.      | 623   | 2        |                               |
|                     | D.H | 5             | 9 | 3 | 1 | 8 | 6 | 8 | 8/1999        | Gross             | 623   | 2        |                               |
|                     | D.I | 6             | 3 | 3 | 2 | 8 | 9 | 3 | 12/2001       | Mortler et al.    | 623   | 2.1      |                               |
|                     | D.J |               |   |   |   |   |   |   |               |                   |       |          |                               |
|                     | D.K |               |   |   |   |   |   |   |               |                   |       |          |                               |

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

|  |     | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION<br>(YES/NO) |
|--|-----|--------------------|---------------------|-----------------------------|-------|----------|-------------------------|
|  | D.L |                    |                     |                             |       |          |                         |
|  | D.M |                    |                     |                             |       |          |                         |
|  | D.N |                    |                     |                             |       |          |                         |
|  | D.O |                    |                     |                             |       |          |                         |
|  | D.P |                    |                     |                             |       |          |                         |
|  | D.Q |                    |                     |                             |       |          |                         |

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

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|                       | A.A |               |               |          |       |          |                               |
|                       | A.B |               |               |          |       |          |                               |
|                       | A.C |               |               |          |       |          |                               |
|                       | A.D |               |               |          |       |          |                               |
|                       | A.E |               |               |          |       |          |                               |
|                       | A.F |               |               |          |       |          |                               |
|                       | A.G |               |               |          |       |          |                               |
|                       | A.H |               |               |          |       |          |                               |
|                       | A.I |               |               |          |       |          |                               |
|                       | A.J |               |               |          |       |          |                               |
|                       | A.K |               |               |          |       |          |                               |

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|---|-----|--------------------|---------------------|-----------------------------|-------|----------|-------------------------|
|   |     | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION<br>(YES/NO) |
| <div style="font-size: 2em; margin-left: 10px;">           22<br/>           ↓         </div> | A.L | 1034753            | 9/2000              | EP                          |       |          |                         |
|   | A.M | 0860151            | 8/1998              | EP                          |       |          |                         |
|   | A.N | 1034753            | 9/2000              | EP                          |       |          |                         |
|   | A.O | 0595791            | 5/1994              | EP                          |       |          |                         |
|   | A.P | 2708458            | 2/1995              | FR                          |       |          |                         |
|   | A.Q | 01/19292           | 3/2001              | PCT                         |       |          |                         |


  

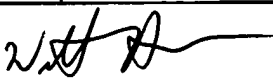
| OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)       |     |  |
|---|-----|--|
|   | A.R | Steven F. Bollin MD et al., <u>Surgical Alternatives for Heart Failure</u> , The Journal of Heart and Lung Transplantation, July 2001  |
|   | A.S | Steven F. Bolling, MD, <u>Mitral Valve Reconstruction in the Patient with Heart Failure</u> , Heart Failure Reviews, 6, 2001           |
| <div style="font-size: 2em; margin-left: 10px;">           ↓         </div> | A.T | Steven F. Bolling MD et al., <u>Surgical Alternatives for Heart Failure</u> , The Journal of Heart and Lung Transplantation, July 2001 |


  

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| EXAMINER<br><div style="font-size: 1.5em; margin-left: 100px;">           2/11/04         </div> | DATE CONSIDERED<br><div style="font-size: 1.5em; margin-left: 100px;">           12/6/04         </div> |
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|  | B.A |   |                     |                                    |                          |               |                               |
|  | B.B |   |                     |                                    |                          |               |                               |
|  | B.C |   |                     |                                    |                          |               |                               |
|  | B.D |   |                     |                                    |                          |               |                               |
|  | B.E |   |                     |                                    |                          |               |                               |
|  | B.F |   |                     |                                    |                          |               |                               |
|  | B.G |   |                     |                                    |                          |               |                               |
|  | B.H |   |                     |                                    |                          |               |                               |
|  | B.I |   |                     |                                    |                          |               |                               |
|  | B.J |   |                     |                                    |                          |               |                               |
|  | B.K |   |                     |                                    |                          |               |                               |
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|  | B.L | 01/87191  | 11/2001             | PCT                                | 1                        | 1             |                               |
|  | B.M | 95/03757  | 2/1995              | PCT                                | 1                        | 1             |                               |
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|  | B.R | Iva A. Smolens et al., <u>Mitral Valve Repair in Heart Failure</u> , The European Journal of Heart Failure 2, 2000  |                     |                                    |                          |               |                               |
|  | B.S | J. Q. Melo et al., <u>Atrioventricular Valve Repair Using Externally Adjustable Flexible Rings</u> , The Journal of Thoracic and Cardiovascular Surgery, November 1995  |                     |                                    |                          |               |                               |
|  | B.T | James E. Chapman Jr. et al., <u>Adjustable Annuloplasty for Tricuspid Insufficiency</u> , The Annals of Thoracic Surgery, Pages 368-369, Vol. 46, No. 3, September 1988 |                     |                                    |                          |               |                               |
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| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT<br><br>(Use several sheets if necessary)<br><br>(37 CFR 1.98(b))  |      |   |                     | APPLICANT<br>Paul A. Spence et al. |                          |          |                               |
|  |      |   |                     | FILING DATE<br>10/28/03            | GROUP<br>3738            |          |                               |
| U.S. PATENT DOCUMENTS  |      |   |                     |                                    |                          |          |                               |
| EXAMINER<br>INITIAL  |      | PATENT NUMBER   | ISSUE<br>DATE       | PATENTEE                           | CLASS                    | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|  | C.A. |   |                     |                                    |                          |          |                               |
|  | C.B. |   |                     |                                    |                          |          |                               |
|  | C.C. |   |                     |                                    |                          |          |                               |
|  | C.D. |   |                     |                                    |                          |          |                               |
|  | C.E. |   |                     |                                    |                          |          |                               |
|  | C.F. |   |                     |                                    |                          |          |                               |
|  | C.G. |   |                     |                                    |                          |          |                               |
|  | C.H. |   |                     |                                    |                          |          |                               |
|  | C.I. |   |                     |                                    |                          |          |                               |
|  | C.J. |   |                     |                                    |                          |          |                               |
|  | C.K. |   |                     |                                    |                          |          |                               |
| FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS   |      |   |                     |                                    |                          |          |                               |
|  |      | DOCUMENT<br>NUMBER  | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE        | CLASS                    | SUBCLASS | TRANSLATION<br>(YES/NO)       |
|  | C.L. |   |                     |                                    |                          |          |                               |
|  | C.M. |   |                     |                                    |                          |          |                               |
|  | C.N. |   |                     |                                    |                          |          |                               |
|  | C.O. |   |                     |                                    |                          |          |                               |
|  | C.P. |   |                     |                                    |                          |          |                               |
|  | C.Q. |   |                     |                                    |                          |          |                               |
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| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT<br><br>(Use several sheets if necessary)  |     |  |                     | APPLICANT<br>Paul A. Spence et al. |                          |               |                               |
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| U.S. PATENT DOCUMENTS  |     |  |                     |                                    |                          |               |                               |
| EXAMINER<br>INITIAL  |     | PATENT NUMBER  | ISSUE<br>DATE       | PATENTEE                           | CLASS                    | SUBCLASS      | FILING DATE<br>IF APPROPRIATE |
|  | D.A |  |                     |                                    |                          |               |                               |
|  | D.B |  |                     |                                    |                          |               |                               |
|  | D.C |  |                     |                                    |                          |               |                               |
|  | D.D |  |                     |                                    |                          |               |                               |
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|  | D.J |  |                     |                                    |                          |               |                               |
|  | D.K |  |                     |                                    |                          |               |                               |
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|  | D.L |  |                     |                                    |                          |               |                               |
|  | D.M |  |                     |                                    |                          |               |                               |
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|  | D.T |  |                     |                                    |                          |               |                               |
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